

31 AUG 1970

MEMORANDUM FOR: CIA Records Administration Officer
SUBJECT : Review of Requirements for Records Data and its Processing

As requested a Task Force of the undersigned has reviewed and recommends action to implement the following system to provide information on Agency records via machine processing.

RECORDS MANAGEMENT INFORMATION SYSTEM

1. DEFINITION OF PROBLEM

- A. In order to manage effectively we must have information about that which we are managing.
- B. The information currently available to Agency managers about the Agency Records, the Agency Records Problems, and the Agency Records Program is inadequate.
- C. The primary product and medium of the Agency is Records. It permeates every segment of the organization and impinges on every person and decision in the Agency.
- D. Agency Records and Problems grow larger and more complex every day. Programs to control these records are inhibited by the lack of adequate information.
- E. Records problems and their control extend throughout the entire life cycle of a document from its creation to its disposition including its very expensive systems for storage, retrieval, and use. This involves hundreds of administrators, thousands of clerks, millions of dollars in equipment and space. The life long problems of records have a direct impact on the speed and efficiency of any and all Agency functions whether administrative or operational, both automated and manual.
- F. Therefore, a major problem Agencywide which warrants attention and solution is the control of Agency records. To manage these the initial action should be to obtain accurate information concerning the scope and type of Agency records created and stored and their related systems, equipment, and efforts to preserve and dispose of them. Such information has been obtained over the past ten years,

but the limits of manual exploitation and manipulation support the opinion that more expanded information should be added to the ten years of data on hand and processed by machine. This will increase its potential and indicate trends, correlations, and problem areas for corrective action.

2. OBJECTIVES

- A. To provide Agency managers at all levels with information concerning records administration in components of the Agency.
- B. To provide Top Management with timely reports that reflect the total picture of records problems in the Agency.
- C. To have available and provide upon call correlated information on specific problem areas. These data to be organized to facilitate its formated presentation as well as to prepare integrated reports on related areas and the results of comparison analysis.

3. BACKGROUND

- A. Some information has always been available in various forms and in various places. Even if all this information could be brought together in one place, it is too varied, unrelated and unstructured to be manipulated. And yet more records information is desired by Top Management. But the preparation of requested reports requires considerable time and contributions from many components each with different emphasis and interpretations.
- B. The Records Officers in the various components take physical inventories of records under their jurisdiction. Traditionally, this inventory has only been concerned with the volume on hand. This is reported to the Records Administration Branch for a report to National Archives. A by product benefit of this inventory and required Federal report is data used in frequent reports to Top Management. With a little more effort on the part of the Records Officers, a great deal of additional information could be gathered at the same time; and if automated, this information would be available on a continuing basis.
- C. The Archives and Records Center prepares statistical reports monthly, quarterly, and yearly. These reports are used by the Central Records Staff, the Records Management Board, and dozens of components with active records officers. At present each of these officers manually relate these reports

one to the other over a period of time, and establish trends or make realistic predictions. However, if made a part of an over-all automated system, this information could be an extremely valuable tool in analyzing the Agency's records problems and estimating longer range trends and more precise predictions.

D. The Records Administration Branch prepares periodic reports and answers a multitude of questions concerning various aspects of the records program. Considerable research goes into many of these reports and studies; however, usually they are used to answer a specific question. If these reports and studies could be made a part of an over-all data base, the research and answers to the questions could be periodically updated and recalled later for inclusion or extension of other information requests.

E. With all the reports, inventories, studies, and statistics, there are still many questions about our records that have not and cannot be answered, such as: "What is the Agency's total annual record handling cost?" "What is the total square footage of office floor space used to store records?" "How many employees, at what grade, spend how much time working with records?" "What is the volume of records scheduled to be transferred to the Archives or Records Center next year?" and "What is the Agency's investment in filing equipment; or how much will be needed next year; or the next ten years?"

F. By broadening the records information data base and establishing an automated information processing system, we can overcome this too-little, too-late, too-costly, too-perishable, effort that characterizes our current reporting effort. When we conduct research, collect data, or prepare reports, we add this information to our data base for future recall. Eventually we will not have to do extensive research when a question is asked or a problem arises; we go to our data base in the computer and obtain the answers.

G. The trend to establish an information data base has existed for many years and a variety of methods are being employed to process this information. The following examples indicate the trend, some requirements and the urgency for a central data base and system.

(1) Two small functions of the six basic elements of the records program have been automated to some extent with much success. These are the Forms Management Program and the Archives and Records Center. The Archives and

Records Center has a tab card system that is currently furnishing information to Records Officers that would be impossible to do manually. Accurate, up-to-date reports are currently being furnished the Records Management Board, Records Officers, and other Agency officials as necessary. Recognizing the importance and inevitable requirements for this information on records in the Agency Archives and Records Center, the data base for this system has been expanded and new formats developed in several areas these past few years. The information on 3,500 Agency forms has been on punch cards since 1956 and in 1969 OCS converted it for computer processing. The system provides quarterly listings by form number, by form title, form functions, and offices of primary interest. Copies of the listings are used extensively by the OPI's Records Management Officer for reference and corrective action. Logistics, Supply, and Printing Services also use the central Staff data and computer reports on forms.

(2) Several of the components have developed punch card systems to control various data on records in their areas. DDS&T developed a computer programmed system for their annual inventory in 1969, CRS/DDI and Office of Communications uses a tab card system to control TOP SECRET documents, NPIC is using tab cards to control reports, the retirement of Security case files is a part of their computer system, the DDP controls its document flow via the computer and DDI is working to put its 1970 records inventory on Tab Cards.

4. GENERAL REQUIREMENTS

Although not exhaustive, the following very general requirements for records information are universally recognized and sought in various echelons of management. (For convenience the records data requirements are organized in these eight groupings: A. Records Accumulation in offices and Storage, B. Records Equipment in Use, C. Forms Information, D. Records Personnel, E. Records Reporting Needs, F. Program Guidance and Standards, G. Records Management Information.)

A. Records Accumulation

(1) Operating Offices

- a. Total volume of records on hand at end of the reporting period.

- b. Volume of records destroyed in office during reporting period.
- c. Volume of records transferred in during reporting period.
- d. Volume of records transferred out during reporting period.
- e. Volume of records on hand by Office Records Control Schedule Items.
- f. Categorization of space occupied by records holdings.
- g. Volume of records on hand by media form (paper, microfilm, microfiche, motion picture film, magnetic tape, photographs, tab cards, aperture cards, 3" x 5" cards, 5" x 8" cards, etc.)

(2) Archives and Records Center

a. Total Volume of Records on hand at end of reporting period by types and responsible components.

b. Accessions during period, showing:

- (1) Office of Primary Interest
- (2) Records Control Schedule No.
- (3) Records Control Schedule Item No.
- (4) Physical form of the records
- (5) Retention Classification
- (6) Job Number
- (7) Volume Received
- (8) Date records received
- (9) Period of records (from - to)
- (10) Scheduled date of disposition action

c. Disposition during reporting period, showing:

- (1) Records Control Schedule No.
- (2) Records Control Schedule Item No.
- (3) Accession Job Number
- (4) Date records received
- (5) Retention Classification
- (6) Disposition Case Number
- (7) Disposition Date
- (8) Volume Destroyed
- (9) Volume transferred out
- (10) Volume transferred to Archives

B. Records Equipment

- (1) A current inventory of filing equipment by type on hand (i.e. conventional cabinets, safes, etc., as well as, specialty types of equipment.)
- (2) Information to determine if vault and secure areas are being used properly, (i.e. capacity and content).
- (3) Data to facilitate determining if the proper or most efficient type of filing equipment is being used.
- (4) Information to permit comparison of file equipment storage space with the actual volume of records in each particular office.
- (5) An index that will show the location of all types of filing equipment; especially important in the identification of "exotic" types of equipment.
- (6) Data to permit the compiling of statistics to reflect the total costs of filing equipment in the Agency.

C. Forms Management Information

(As indicated in detail in requirements submitted to the SIPS Task Force 12 February 1969.)

D. Records Personnel

- (1) Name, Employee Number
- (2) Grade
- (3) Component, address, extension
- (4) Position Title, duties
- (5) Time Spent on Records
- (6) Records Training Received

E. Records Information Reporting

- (1) Central Records Staff
 - a. Annual NARS (statistical)
 - b. Semi Annual (statistical-narrative)
 - c. Forms listings
 - d. Vital Records NARS (statistical)

(2) Archives and Records Center

- a. Monthly (statistical-narrative)
- b. Quarterly (statistical)
- c. Quarterly listings of records holdings (statistical)
- d. Annual (statistical-narrative)
- e. Special (statistical)

(3) Directorates

- a. Annual Inventory (statistical)
- b. Quarterly (statistical-narrative)

(4) Components

(Unscheduled reports on office space, equipment, and records volumes)

F. Program Aids

- (1) Catalog of Records Series
- (2) Index to "Offices of Record."
- (3) Standards for Titles of Records and Files
- (4) Periods and Classification Retention Standards for Establishing Records
- (5) Record Control Schedules and Revision Cross References
- (6) Equipment Titles, capacities, and costs.

G. Management Information

- (1) Net increment in holdings by types and components.
- (2) New accumulation in holdings by types and components.
- (3) Total volumes of records on hand by types and components.
- (4) Inventory of equipment by type and component.
- (5) Storage facilities inventory by types, component and location.
- (6) Volume of records destroyed by component.
- (7) Projected disposition of records by volume by year.
- (8) Projected accessions by records retention classification.
- (9) Projected accumulation by records retention classification.
- (10) Projected overall Archives and Records Center space requirement by year.
- (11) Trends in record accumulation
- (12) Projected space and equipment needs.
- (13) Master data file.
- (14) Records series subject comparison studies.
- (15) Retention requirement standards comparisons
- (16) Development of Agency general records Control Schedules.

5. The foregoing is presented to explain the need and continuing interest and action toward development of records information that can be used to manage Agency records. It is not an exhaustive treatment of the total needs or the entire data base and format of the future. It is intended as a beginning from which systems analysts can expand and coordinate to develop the content, formats, and processing eventually required.

6. The concept of this system for a data base of records information has been reviewed by the SIPS Task Force and generally endorsed on 10 July 1970. It is recommended that efforts to implement such an information data base should proceed as quickly as practical. with whatever systems assistance and manpower is available.

STATINT



21 AUG 1970

MEMORANDUM FOR: CIA Records Administration Officer
SUBJECT : Review of Requirements for Records Data and its Processing

As requested a Task Force of the undersigned has reviewed and recommends action to implement the following system to provide information on Agency records via machine processing.

RECORDS MANAGEMENT INFORMATION SYSTEM

1. DEFINITION OF PROBLEM

- A. In order to manage effectively we must have information about that which we are managing.
- B. The information currently available to Agency managers about the Agency Records, the Agency Records Problems, and the Agency Records Program is inadequate.
- C. The primary product and medium of the Agency is Records. It permeates every segment of the organization and impinges on every person and decision in the Agency.
- D. Agency Records and Problems grow larger and more complex every day. Programs to control these records are inhibited by the lack of adequate information.
- E. Records problems and their control extend throughout the entire life cycle of a document from its creation to its disposition including its very expensive systems for storage, retrieval, and use. This involves hundreds of administrators, thousands of clerks, millions of dollars in equipment and space. The life long problems of records have a direct impact on the speed and efficiency of any and all Agency functions whether administrative or operational, both automated and manual.
- F. Therefore, a major problem Agencywide which warrants attention and solution is the control of Agency records. To manage these the initial action should be to obtain accurate information concerning the scope and type of Agency records created and stored and their related systems, equipment, and efforts to preserve and dispose of them. Such information has been obtained over the past ten years,

but the limits of manual exploitation and manipulation support the opinion that more expanded information should be added to the ten years of data on hand and processed by machine. This will increase its potential and indicate trends, correlations, and problem areas for corrective action.

2. OBJECTIVES

- A. To provide Agency managers at all levels with information concerning records administration in components of the Agency.
- B. To provide Top Management with timely reports that reflect the total picture of records problems in the Agency.
- C. To have available and provide upon call correlated information on specific problem areas. These data to be organized to facilitate its formated presentation as well as to prepare integrated reports on related areas and the results of comparison analysis.

3. BACKGROUND

- A. Some information has always been available in various forms and in various places. Even if all this information could be brought together in one place, it is too varied, unrelated and unstructured to be manipulated. And yet more records information is desired by Top Management. But the preparation of requested reports requires considerable time and contributions from many components each with different emphasis and interpretations.
- B. The Records Officers in the various components take physical inventories of records under their jurisdiction. Traditionally, this inventory has only been concerned with the volume on hand. This is reported to the Records Administration Branch for a report to National Archives. A by product benefit of this inventory and required Federal report is data used in frequent reports to Top Management. With a little more effort on the part of the Records Officers, a great deal of additional information could be gathered at the same time; and if automated, this information would be available on a continuing basis.
- C. The Archives and Records Center prepares statistical reports monthly, quarterly, and yearly. These reports are used by the Central Records Staff, the Records Management Board, and dozens of components with active records officers. At present each of these officers manually relate these reports

one to the other over a period of time, and establish trends or make realistic predictions. However, if made a part of an over-all automated system, this information could be an extremely valuable tool in analyzing the Agency's records problems and estimating longer range trends and more precise predictions.

D. The Records Administration Branch prepares periodic reports and answers a multitude of questions concerning various aspects of the records program. Considerable research goes into many of these reports and studies; however, usually they are used to answer a specific question. If these reports and studies could be made a part of an over-all data base, the research and answers to the questions could be periodically updated and recalled later for inclusion or extension of other information requests.

E. With all the reports, inventories, studies, and statistics, there are still many questions about our records that have not and cannot be answered, such as: "What is the Agency's total annual record handling cost?" "What is the total square footage of office floor space used to store records?" "How many employees, at what grade, spend how much time working with records?" "What is the volume of records scheduled to be transferred to the Archives or Records Center next year?" and "What is the Agency's investment in filing equipment; or how much will be needed next year; or the next ten years?"

F. By broadening the records information data base and establishing an automated information processing system, we can overcome this too-little, too-late, too-costly, too-perishable, effort that characterizes our current reporting effort. When we conduct research, collect data, or prepare reports, we add this information to our data base for future recall. Eventually we will not have to do extensive research when a question is asked or a problem arises; we go to our data base in the computer and obtain the answers.

G. The trend to establish an information data base has existed for many years and a variety of methods are being employed to process this information. The following examples indicate the trend, some requirements and the urgency for a central data base and system.

(1) Two small functions of the six basic elements of the records program have been automated to some extent with much success. These are the Forms Management Program and the Archives and Records Center. The Archives and

Records Center has a tab card system that is currently furnishing information to Records Officers that would be impossible to do manually. Accurate, up-to-date reports are currently being furnished the Records Management Board, Records Officers, and other Agency officials as necessary. Recognizing the importance and inevitable requirements for this information on records in the Agency Archives and Records Center, the data base for this system has been expanded and new formats developed in several areas these past few years. The information on 3,500 Agency forms has been on punch cards since 1956 and in 1969 OCS converted it for computer processing. The system provides quarterly listings by form number, by form title, form functions, and offices of primary interest. Copies of the listings are used extensively by the OPI's Records Management Officer for reference and corrective action. Logistics, Supply, and Printing Services also use the central Staff data and computer reports on forms.

(2) Several of the components have developed punch card systems to control various data on records in their areas. DDS&T developed a computer programmed system for their annual inventory in 1969, CRS/DDI and Office of Communications uses a tab card system to control TOP SECRET documents, NPTC is using tab cards to control reports, the retirement of Security case files is a part of their computer system, the DDP controls its document flow via the computer and DDI is working to put its 1970 records inventory on Tab Cards.

4. GENERAL REQUIREMENTS

Although not exhaustive, the following very general requirements for records information are universally recognized and sought in various echelons of management. (For convenience the records data requirements are organized in these eight groupings: A. Records Accumulation in offices and Storage, B. Records Equipment in Use, C. Forms Information, D. Records Personnel, E. Records Reporting Needs, F. Program Guidance and Standards, G. Records Management Information.)

A. Records Accumulation

(1) Operating Offices

- a. Total volume of records on hand at end of the reporting period.

- b. Volume of records destroyed in office during reporting period.
- c. Volume of records transferred in during reporting period.
- d. Volume of records transferred out during reporting period.
- e. Volume of records on hand by Office Records Control Schedule Items.
- f. Categorization of space occupied by records holdings.
- g. Volume of records on hand by media form (paper, microfilm, microfiche, motion picture film, magnetic tape, photographs, tab cards, aperture cards, 3" x 5" cards, 5" x 8" cards, etc.)

(2) Archives and Records Center

a. Total Volume of Records on hand at end of reporting period by types and responsible components.

b. Accessions during period, showing:

- (1) Office of Primary Interest
- (2) Records Control Schedule No.
- (3) Records Control Schedule Item No.
- (4) Physical form of the records
- (5) Retention Classification
- (6) Job Number
- (7) Volume Received
- (8) Date records received
- (9) Period of records (from - to)
- (10) Scheduled date of disposition action

c. Disposition during reporting period, showing:

- (1) Records Control Schedule No.
- (2) Records Control Schedule Item No.
- (3) Accession Job Number
- (4) Date records received
- (5) Retention Classification
- (6) Disposition Case Number
- (7) Disposition Date
- (8) Volume Destroyed
- (9) Volume transferred out
- (10) Volume transferred to Archives

B. Records Equipment

- (1) A current inventory of filing equipment by type on hand (i.e. conventional cabinets, safes, etc., as well as, specialty types of equipment.)
- (2) Information to determine if vault and secure areas are being used properly, (i.e. capacity and content).
- (3) Data to facilitate determining if the proper or most efficient type of filing equipment is being used.
- (4) Information to permit comparison of file equipment storage space with the actual volume of records in each particular office.
- (5) An index that will show the location of all types of filing equipment; especially important in the identification of "exotic" types of equipment.
- (6) Data to permit the compiling of statistics to reflect the total costs of filing equipment in the Agency.

C. Forms Management Information

(As indicated in detail in requirements submitted to the SIPS Task Force 12 February 1969.)

D. Records Personnel

- (1) Name, Employee Number
- (2) Grade
- (3) Component, address, extension
- (4) Position Title, duties
- (5) Time Spent on Records
- (6) Records Training Received

E. Records Information Reporting

- (1) Central Records Staff
 - a. Annual NARS (statistical)
 - b. Semi Annual (statistical-narrative)
 - c. Forms listings
 - d. Vital Records NARS (statistical)

(2) Archives and Records Center

- a. Monthly (statistical-narrative)
- b. Quarterly (statistical)
- c. Quarterly listings of records holdings (statistical)
- d. Annual (statistical-narrative)
- e. Special (statistical)

(3) Directorates

- a. Annual Inventory (statistical)
- b. Quarterly (statistical-narrative)

(4) Components

(Unscheduled reports on office space equipment, and records volumes)

F. Program Aids

- (1) Catalog of Records Series
- (2) Index to "Offices of Record."
- (3) Standards for Titles of Records and Files
- (4) Standards for Establishing Records Retention Periods and Classification
- (5) Record Control Schedules and Revision Cross References
- (6) Equipment Titles, capacities, and costs.

G. Management Information

- (1) Net increment in holdings by types and components.
- (2) New accumulation in holdings by types and components.
- (3) Total volumes of records on hand by types and components.
- (4) Inventory of equipment by type and component.
- (5) Storage facilities inventory by types, component and location.
- (6) Volume of records destroyed by component.
- (7) Projected disposition of records by volume by year.
- (8) Projected accessions by records retention classification.
- (9) Projected accumulation by records retention classification.
- (10) Projected overall Archives and Records Center space requirement by year.
- (11) Trends in record accumulation
- (12) Projected space and equipment needs.
- (13) Master data file.
- (14) Records series subject comparison studies.
- (15) Retention requirement standards comparisons
- (16) Development of Agency general records Control Schedules.

5. The foregoing is presented to explain the need and continuing interest and action toward development of records information that can be used to manage Agency records. It is not an exhaustive treatment of the total needs or the entire data base and format of the future. It is intended as a beginning from which systems analysts can expand and coordinate to develop the content, formats, and processing eventually required.

6. The concept of this system for a data base of records information has been reviewed by the SIPS Task Force and generally endorsed on 10 July 1970. It is recommended that efforts to implement such an information data base should proceed as quickly as practical with whatever systems assistance and manpower is available.

[REDACTED] STATINT

ATINTL

DDS/SSS/RAB [REDACTED] d (18 August 70)

Distribution:

Orig. - Addressee
1 - RAB
1 - Chrono

Approved For Release 2001/11/15 : CIA-RDP74-00390R000100040002-1

STATINTL

Next 1 Page(s) In Document Exempt

Approved For Release 2001/11/15 : CIA-RDP74-00390R000100040002-1

RECORDS MANAGEMENT INFORMATION SYSTEM

1. DEFINITION OF PROBLEM

- A. In order to manage effectively we must have information about that which we are managing.
- B. The information currently available to Agency managers about the Agency Records, the Agency Records Problems, and the Agency Records Program is inadequate and antiquated.
- C. The primary product and medium of the Agency is Records. It permeates every segment of the organization and impinges on every person and decision in the Agency. Agency Records and Problems grow larger and more complex every day. Programs to control these records and records decisions by Top Management are inhibited by the lack of adequate information.
- D. Records problems and control extend throughout the entire life cycle of a document from its creation to its disposition including its very expensive systems for storage, retrieval, and use. This involves hundreds of administrators, thousands of clerks, millions of dollars in equipment and space as well as a direct impact on the speed and efficiency of any and all Agency functions whether administrative or operational, automated or manual.

2. OBJECTIVES

- A. To provide Agency managers at all levels with information concerning all phases of records administration.
- B. To provide Top Management with timely reports that will reflect the total picture of the records problem in the Agency.
- C. To have available and provide upon call all information on specific problem areas. These data to be so organized to facilitate its formated presentation as well as to prepare integrated reports on related areas and the results of comparison analysis.

3. BACKGROUND

- A. Some information has always been available in various forms and in various places. Even if all this information could be brought together in one place, it could not be manipulated or used effectively. The reports that are currently being prepared in the records administration channel are not complete; and by the time they reach the TOP, they are hopelessly out of date.

B. The Records Officers in the various components take physical inventories of records under their jurisdiction. Traditionally, this inventory has only been concerned with volume which is reported to the Records Administration Branch; a report is prepared for National Archives, then it is filed away and forgotten. With a little more effort on the part of the Records Officers, a great deal of additional information could be gathered at the same time; and if automated, this information would be available on a continuing basis.

C. The Archives and Records Center prepares statistical reports monthly, quarterly, and yearly. These reports are read and filed away. It is impossible to relate these reports one to the other over a long period of time, and it is impossible to establish definite trends or to make realistic predictions. However, if made a part of an over-all ADP system, this information could be an extremely valuable tool in analyzing the Agency's records problems.

D. The Records Administration Branch prepares periodic reports and answers a multitude of questions concerning various aspects of the records program. Considerable research goes into many of these reports and studies; however, usually they are pertinent for only a short time and are used to answer a specific question. If these reports and studies could be made a part of an over-all data base, the research and answers to the questions could be updated and recalled at a later date.

E. With all the reports, inventories, studies, and statistics, there are still many questions about our records that have not and cannot be answered, such as: "What is the Agency's total annual record handling cost?" "What is the total square footage used to store records?" "How many employees, at what grade, spend how much time working with records?" "What is the volume of records scheduled to be transferred to the Archives next year -- to the Records Center?" and "What is the Agency's investment in filing equipment -- how much will be needed next year -- the next ten years?"

F. By broadening our data base and establishing an ADP system, we can overcome this too-little, too-late effort that characterizes our current reporting effort. When we conduct research, collect data or prepare reports, we add this information to our data base for future recall. Eventually we will not have to do extensive research when a question is asked or a problem arises; we go to our data base in the computer and obtain the answers.

G. Two small functions of the records program have been automated to some extent with much success. These are the Forms Management Program and the Archives and Records Center. The Archives and Records Center has a tab card system that is currently furnishing

information to Records Officers that would be impossible to do manually. Accurate, up-to-date reports are currently being furnished the Records Management Board, Records Officers, and other Agency officials as necessary. The forms program has been automated by OCS and quarterly listings by numerical, alphabetical, functional and OPI are produced. Copies of the listings are sent to the OPI's Records Management Officer for review and corrective action. Logistics, Supply and Printing Services also use the central ADP data on forms.

H. Several of the components have developed automated systems to control various records programs. DDS&T developed an ADP system for the annual inventory in 1969, CRS and Communications uses a tab card system to control TOP SECRET documents, NPIC is using tab cards to control reports, the retirement of Security case files is a part of an ADP system, the DDP Records Management Staff has proposed plans to automate the 1970 inventory in DDP, and DDI is working on an automated inventory.

4. GENERAL REQUIREMENTS

A. Records Accumulation

(1) Operating Office

- a. Current volume of records in hand at end of FY or other reporting period.
- b. Volume of records destroyed on site during reporting period.
- c. Volume of records transferred in during reporting period.
- d. Volume of records transferred out during reporting period.
- e. Equipment inventory by type on hand at end of reporting period.
- f. Categorization of space occupied by records holdings.
- g. Volume of records in hand by media form (paper, microfilm, microfiche, motion picture film, magnetic tape, photographs, tab cards, aperture cards, 3" x 5" cards, 5" x 8" cards, etc.)

(2) Archives and Records Center

- a. Accessions during reporting period, showing:

(1) Office of Primary Interest

- (2) Records Control Schedule No.
- (3) Records Control Schedule Item No.
- (4) Physical form of the records
- (5) Retention Classification
- (6) Job Number
- (7) Volume Received
- (8) Date records received
- (9) Date of records (from - to)

b. Disposition during reporting period, showing:

- (1) Records Control Schedule No.
- (2) Records Control Schedule Item No.
- (3) Accession Job Number
- (4) Date records received
- (5) Retention Classification
- (6) Disposition Case Number
- (7) Disposition Date
- (8) Volume Destroyed
- (9) Volume transferred out
- (10) Volume transferred to Archives

B. Equipment

- (1) Provide a current inventory of filing equipment, conventional cabinets, safes, etc., as well as, specialty types of equipment.
- (2) Provide information to determine if vault and secure areas are being used properly.
- (3) Facilitate determining if the proper or most efficient type filing equipment is being used.
- (4) Permit comparison of file equipment storage space with the actual volume of records in each particular office.
- (5) Permit the compiling of an index that will show the location of all types of filing equipment; especially important in the identification of "exotic" types of equipment.
- (6) Permit the compiling of statistics that will reflect the total costs of filing equipment in the Agency.

C. Forms Management Information System Requirements

(1) Input

a. Request for Approval of Form (Form 30)

Document needed to add a new record to file or to revise or overprint a form and so change a record in the system. This request contains the initial data elements and will be the document that also activates the ordering of the form.

b. Replenishment Approval (Form 30-a)

The OPI approves a reprint or makes revisions, changes, or to obsolete the form. If the action is a reprint the approval on this Form 30-a will go back into the system from the OPI, however, if a revision or change is to be made the 30-a is returned to the Central Forms Staff before going into system.

c. Source of Printing

This is furnished by Printing Services, Office of Logistics, and the item comes into the system via a PSD note on the Form 30 or Form 30-a.

d. Obsolete Notice

Requests to obsolete a form from the system originate in OPI or Central Staff. It will contain information about replacement form if applicable. This history and audit trail is permanent in system. These items may enter the system on a Form 30 or Form 30-a, but many times it is a memorandum.

e. Change Notice

Requests to alter data elements in the system originate with OPI and Central Staff. This notice should allow for as many as six changes to the record at one time. Central Staff would have final information on changes and would enter it to system.

f. Specifications

Form 30-b is a formatted list of details of construction and design of form -- also it includes general terms and conditions provided by Central Staff.

g. Receiving Report

Actual quantity received and its acceptance into the system provided by Depot.

h. Requisition for Material (Form 88 or 1490)

This will activate the system to draw and ship a supply from stock, adjust totals of inventory on hand, and as an instruction to start the replenishment system.

(2) Output

a. Forms Management Reports

- (1) Monthly list of forms transactions.
- (2) Periodic report of forms conditions such as stock status, problem areas, replenishment data, outstanding orders, etc. Program should provide for reports information selected and sorted from data in any of the fields, or dates, volumes, costs, transactions, and calculations in the system.

b. Forms Management Reference Information

Until the system is on-line it should continue to provide the forms information listings now produced in Forms number sequence, alphabetical by Form title, numerical by Functional Code, and by Office of Primary Interest. These are needed for Records Officer corrective action as well as data requirements in the Central Staff, Printing Services, and several Logistics offices.

c. Replenishment Notices - Form 30-a

Individual forms preaddressed to OPI Record Officers when stock level point is reached.

- (1) Notice will include quantity on hand, quantity last ordered, date of last supply received, and recommended replacement order.
- (2) Include, if applicable, narrative statement on pending changes, suggestions, legislation, etc.
- (3) Notice will contain information for action to be taken and provide for action as system INPUT.
- (4) Notice will contain a deadline date to meet normal procurement lead time.

d. Query Capability on Each Form

- (1) This access to be cross-referenced by Form Number, Title, Stock Number, function, and related feeder forms.
- (2) Response will have available any information on each form in the system.

e. Requisitions (or Contract) for Printing

Forms 70, 1270, 144, and SF-1.

f. Specifications

On each form (for PSD this can be on the requisition) but for other sources this would be a separate formatted printout. See input for specification terms and conditions details.

g. Pick and Ship Slip

Via a requisition if form requested is stock item and on shelf, balance on hand will be reduced by quantity requested and a pick and ship slip will be forwarded to Depot. Activating input is Form 88.

h. Out of Stock Notice and Order Cut Notice

In event balance on hand does not cover requisition or supply is awaiting a "due in", the amount requested will be either cut to a minimum or placed on "back order". In either case requisitioner will receive an out of stock notice or order cut notice.

(3) Data Elements

a. Stock number for 500 forms which are issued by Logistics thru the Central Depot. These stock numbers are essential to parts of Office of Logistics, RMO's and Logistics officers in each of the components and all Domestic and Office of Security stations. Not essential to Forms Management, or Printing Services as we work on form numbers -- i.e., case files in FMB, negative and plate files in PSD. Even at Depot and BSO forms are in numerical order in bins and on shelves.

Entered by Catalog, Office of Logistics.

b. Transaction Code - New, Revised, Reprint, Overprint.

(1) New -- to create new record in system.

Entered by Forms Management Branch.

(2) Revised -- to show latest edition and show disposition of previous editions.

Entered by Forms Management Branch.

(3) Reprint -- update system on amount of copies ordered and available for issuing.

Entered by OPI or PSD.

(4) Overprints -- existing Agency or other government agency forms where repetitive information is preprinted for ease of handling.

Entered by Forms Management Branch.

c. Estimated Monthly Usage

Entered on new forms only. For future reprints and revision this should become Actual Monthly Usage.

Entered by OPI on reprints.

d. (1) Quantity ordered (in Form Units) -- amount of forms to be printed new, revised and overprint. (A 10-part form is one form unit.)

Entered by OPI or PSD/Procurement.

(2) Quantity ordered (in sheets) -- amount of sheets to be printed. (A 10-part form is 10 sheets.) (This shows sheets of paper that eventually are filed and end up in Records Center.)

Entered at the same time as 4.a.
Quantity ordered.

(3) Quantity received (in unit of Logistics issue) (cartons or packages of 500 to 1500 forms units).

(a) Can vary 10 to 20 percent in shortages and overages from quantity ordered.

(b) Partial shipments are often received.

Entered by Depot.

(4) Quantity Received Accepted or Disapproved. (In Logistics Unit of Issue.)

(a) Partial shipments.

(b) Entire shipments.

Entered by Depot following
acceptance by Central Forms
Staff and OPI.

(5) Quantity Issued -- by station and units (by Logistics Unit and Issue and station codes).

Entered by Depot.

e. Related/Feeder Forms -- These may be first pages and continuation sheets of related forms or various interdependent forms used in one office procedure where information from one form matches or depends on other like forms.

Entered by Forms Management Branch.
(2 digit code - AA-22)

*This item should also alert the system that these several related forms should be ordered together as

Examples - Information Reports - DDP
Information Reports - DDI
Dispatch forms
Cable forms
Security combination envelopes

f. Disposition of Stock

- (1) Use or destroy previous editions of revised forms.
- (2) To use or destroy remaining stock of obsolete forms.

Entered by Forms Management Branch.

g. Form Unit -- the unit of quantity in which each form is procured and processed by OPI and Central Staff.
(See 4.a. above -- a 10-part form is one form unit.)

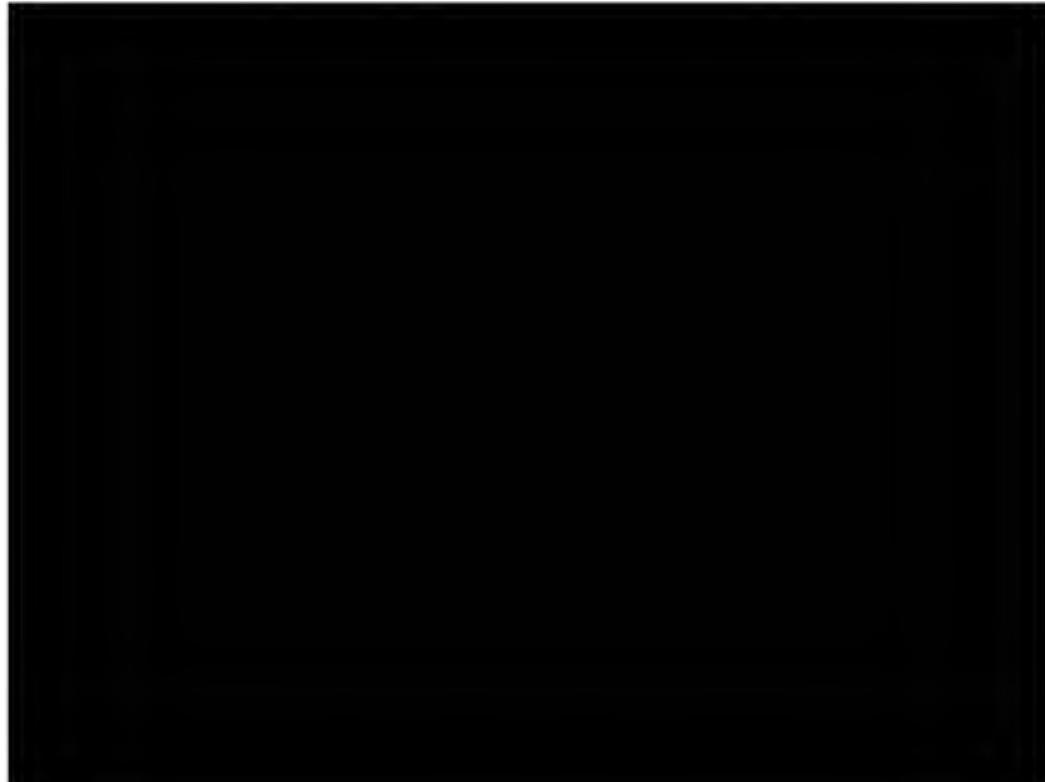
Entered by Forms Management Branch.

h. Unit of Issue (the Logistics unit or quantity in which forms are received, stored, requisitioned, and issued by Depot) -- form units packaging. (100 cards, cut sheets, or sets per package; 1500 continuous sets per carton.)

Entered by Catalog/Office of Logistics.

i. Area of Use -- where forms are to be used. This is prescribed by the Regulations and Handbooks.

STATINTL



k. Supply Source -- whether form is a Stock or Non-stock item. If Stock, it is available from Building Supply Office; if Non-stock, it is available from Office Primary Interest.

(1) A Stock number is shown for Stock forms. No Stock number is shown for Non-stock forms.

(2) "S" for Stock forms. "N" for Non-stock forms.

Entered by Forms Management Branch.

l. Security Classification -- only preclassified forms are coded. All other forms are blank in this area.

1 - Preclassified CONFIDENTIAL

2 - Preclassified SECRET

Entered by Forms Management Branch.

m. Functional Codes -- codes assigned to indicate the basic function of the form. Maximum of 5 codes (2 digit) per form. See list attached.

Entered by Forms Management Branch.

n. Office of Primary Interest -- A code of two numbers entered to identify the office responsible for the form.

Entered by Forms Management Branch.

(Future system should include updatable list of Logistics and Records Management Officers in the OPI's. Further the system should include with the name, his phone and address. At present the OPI code is the Office. In the future this should provide for more specific identity of Directorate, Office, and Unit therein that are responsible for each form.)

o. Form Number -- number assigned by this Agency or other government agency.

Entered by Forms Management Branch.

p. Edition Date -- latest edition of the form.

Entered by Forms Management Branch.

q. Title (as printed on form) -- a descriptive statement of function or content is given if the form is not titled. (Could be 20 or 30 words).

Entered by Forms Management Branch.

(1) Prescribing Regulation -- those prescribing the use of a form. [REDACTED]

[REDACTED] (Could be several letters and numbers.)

Entered by Forms Management Branch.

STATINTL

STATINTL

- r. Suggestions -- a narrative statement on approved or pending suggestions relating to future form changes.

(This note would print out on the Replenishment Notice Form 30-a to alert the OPI of pending action.)

Entered by Forms Management Branch.

- s. Specifications -- details of construction, format, and design of form.

PSD uses specifications indicated by OPI and FMB on Printing Requisition. GPO and Commercial Printers receive two pages of form specifications on Form 30-b. Specification requirements set by OPI and Central Staff and are in file.

Entered by Forms Management Branch.

- t. Source of Procurement -- where form is printed PSD, GPO, Commercial, Other Government Agency, State of Virginia, State of Maryland, D. C. Government.

Entered by Printing Services Division.

- u. Agency Codes -- these indicate the Agency responsible for and controlling the form (i.e., agency form, GSA, DOD, Department of State, etc.)

Entered by Forms Management Branch.

- v. Lead Time -- these 30-60-90-120-day time periods are based on the complexity or special qualities of the form and where the form is to be procured. This lead time includes the OPI coordination, and time for contracting and/or scheduling as well as production and delivery. Coordinated among OPI, Central Staff, Printing Services, and Logistics Supply Management.

Entered by Supply.

- w. Procedural Analysis Data -- This narrative information details the need and use of the form, the distribution of the copies and component reliance on this form. This data is essential for Systems Analysis and coordination. Forms Consolidation, simplification or deletion grow from this data on file. Conversion from manual systems to punch card, microfilm or computers uses this Analysis Data. The disapproval of the forms request or its modification develop from this system and Procedural Analysis Data received on the Form 30 request and subsequent surveys.

Entered from #30 by Forms Management Branch.

D. Personnel

- (1) Name
- (2) Grade
- (3) Component
- (4) Position Title
- (5) Time Spent on Records

E. Reporting

- (1) Archives and Records Center
 - a. Monthly (statistical-narrative)
 - b. Quarterly (statistical)
 - c. Quarterly listings of records holdings (statistical)
 - d. Annual (statistical-narrative)
 - e. Special (statistical)
- (2) RAB
 - a. Annual NARS (statistical)
 - b. Semi Annual (statistical-narrative)
 - c. Forms listings
 - d. Vital Records NARS (statistical)
- (3) Directorates
 - a. Annual Inventory (statistical)
 - b. Quarterly (statistical-narrative)

F. Program Aids

- (1) Records Series Catalogs
- (2) Office of Record Index
- (3) Records Title Standards
- (4) Retention Classification Standards
- (5) Record Control Schedule Revision

G. Management Information

- (1) Net increment in holdings.
- (2) New accumulation in holdings.
- (3) Total volumes of records on hand.
- (4) Inventory of equipment by type.
- (5) Storage facilities inventory.
- (6) Volume of records destroyed.
- (7) Projected disposition of records by volume by year.
- (8) Projected accessions by records retention classification.

- (9) Projected accumulation by records retention classification.
- (10) Projected overall Archives and Records Center space requirement by year.
- (11) Trends in record accumulation.
- (12) Projected space and equipment needs.
- (13) Master data file.
- (14) Records series subject comparison studies.
- (15) Retention requirement standards comparisons.
- (16) Development of Agency general records Control Schedules.

STATINT

[Redacted]
Project Leader for
Task Force.